United Nations system CEB/2017/6

Chief Executives Board for Coordination

6 November 2017

Report of the High-Level Committee on Programmes at its thirty-fourth session

(International Labour Organization headquarters, Geneva, 26 and 27 September 2017)

I. Introduction

1. The High-level Committee on Programmes of the United Nations System Chief Executives Board for Coordination (CEB) held its thirty-fourth session at International Labour Organization (ILO) headquarters in Geneva on 26 and 27 September 2017. The agenda of the meeting and the list of participants are contained in annexes I and II.

2. In opening the session, the Chair of the Committee, Guy Ryder, Director-General of ILO, set out new ambitious priorities for its work, building on its well established role in promoting policy coherence and programmatic coordination within the United Nations system and across the Charter of the United Nations pillars. As CEB planned to address emerging challenges emanating from rapidly developing "frontier" technologies — artificial intelligence, cyberspace, biotechnology and new weaponry — the Committee had been called upon to provide input from a system-wide perspective.

3. The increasing relevance of new technological advancements to the achievement of the 2030 Agenda for Sustainable Development and the attainment of the Sustainable Development Goals was well recognized. Their multidimensional and interlinked nature demanded whole-system engagement and integrated approaches. The Chair stressed that as a driver of system-wide coherence and coordinated action on global strategic issues, the Committee had a unique role in facing emerging challenges.

Horizon-scanning of emerging issues (with focus on frontier issues in the domain of technology)

II. Artificial intelligence

4. In introducing the agenda item, the Chair emphasized the cross-cutting nature and transformative potential of artificial intelligence as a driver of accelerated and structural change, which was relevant to the entire agenda of the Committee at its

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thirty-fourth session: it was therefore critical to move towards a common understanding of its implications for the work of the United Nations. In particular, the Committee was invited to identify entry points and modalities through which United Nations system organizations, including within the Committee's work, could support Member States in responding to the challenges brought about by rapidly evolving technologies.

5. Doreen Bogdan-Martin (International Telecommunication Union (ITU)) presented a draft discussion paper on artificial intelligence prepared by ITU in collaboration with 26 entities. While artificial intelligence had enormous potential for social good and for contributing to the achievement of the Sustainable Development Goals, the transformative yet possibly disruptive powers of artificial intelligence yielded complex challenges spanning the ethical, technical and socioeconomic spheres, including human rights, inequality, employment, privacy, accountability and weaponization.

6. Turning to the question of the role of the United Nations system, Ms. Bogdan-Martin outlined a set of recommendations that built on important functions of the United Nations, including in the areas of international dialogue (multi-stakeholder platform for dialogue, panel of experts to advise the United Nations system on artificial intelligence challenges and an inter-agency collaborative mechanism, possibly within the Committee), research (common United Nations system-wide position and a review of the impact of artificial intelligence on current United Nations frameworks) and capacity development and knowledge-sharing (capacity-building programme for developing countries, data-sharing repository, publicly available universal repository, artificial intelligence standards and a global fund).

7. In the ensuing discussion, the Committee strongly agreed that the transformational role of artificial intelligence presented the United Nations system with complex, multifaceted, interlinked and immediate challenges. The "fourth industrial revolution" — the development and introduction of smart autonomous systems capable of self-cognition and self-optimization — was not an event of the distant future but an immediate reality. Advances in artificial intelligence brought a range of development benefits and could be a "force for good" for achieving the Sustainable Development Goals by enabling developing countries to leapfrog over traditional stages of development. The United Nations system, owing to its near universal presence, had an important role to play in helping countries in this process, including by building the capacity of programme countries. A firmer integration of artificial intelligence into the core programmes of United Nations entities would be critical.

8. Unique to the new technologies was that their development and introduction were predominantly driven by non-State actors, sometimes with little regard to whether Governments were capable of regulating and protecting their citizens from the potential negative impacts of those technologies. The "digital divide" between developed and developing countries was widening as power and profits from frontier technologies were rapidly concentrating in a few countries and within those countries in the hands of the very few. The Committee affirmed that the United Nations system had an important role to play in ensuring that developing countries, especially least developed countries and the most vulnerable and disadvantaged within each society, were not left further behind in this technological revolution.

9. Members stressed that, given the private sector-driven environment of artificial intelligence development, the United Nations system needed to be proactive because it could not be assumed that the Organization would be automatically called upon to assist with its norm-setting and governance. The Committee broadly supported the proposal for an articulation of a common United Nations system-wide position on

artificial intelligence and a general engagement strategy on frontier technologies that would help, through multi-stakeholder partnerships, to minimize the risks associated with advanced technologies while maximizing their benefits and addressing issues of accountability and oversight.

10. The Committee emphasized that the Secretary-General, in addition to his leadership of the United Nations system as a whole, had an especially critical role to play in upholding United Nations norms, standards and values and promoting a rights-based perspective when addressing frontier technologies, such as artificial intelligence. The United Nations needed to assert itself on issues of human rights, social justice, equity and other ethical concerns and should make full use of its convening power to address complex issues of international concern. The Committee also emphasized the importance of engagement by intergovernmental bodies, including the General Assembly, in addressing the multifaceted implications of frontier technologies. As a global platform for dialogue among multiple State and non-State stakeholders, the United Nations had a number of existing mechanisms and instruments at its disposal that could be utilized for the purpose of addressing artificial intelligence issues (Commission on Science and Technology for Development, Internet Governance Forum, Guiding Principles on Business and Human Rights etc.). Members broadly supported the proposal put forth in the paper for the establishment of a multi-stakeholder panel of experts to advise the Secretary-General and United Nations system leadership on emerging technologies and their implications for the work of the United Nations.

11. On the question of the establishment of a universal data-sharing repository and a "global fund for artificial intelligence for good" proposed in the paper, the membership was divided and some members referred to previous similar undertakings in other areas that had been unsuccessful. While data fragmentation within the United Nations system was seen as a challenge, several members cautioned against a centralized approach to data-sharing owing to security and privacy concerns. A feasibility study would need to be undertaken as an initial step. Existing instruments, such as the United Nations Development Group guidance note on big data for Sustainable Development Goals, could be relevant in this context. Several members pointed to the proliferation of global funds, which had led to a notable fragmentation of the global funding structure. In addition to using existing funds for advancing the application of artificial intelligence to the implementation of the Goals, a suggestion was made to consider the launch of a grant challenge linked to a specific public policy goal as a possible alternative, with a special focus on youth.

12. In conclusion, the Committee agreed that the complex multidimensional nature of technological breakthroughs, such as artificial intelligence, required an integrated, cross-sectoral and collaborative approach that mobilized and engaged the entire United Nations system. The system needed to come together in unity with ambition and clarity of vision to ensure that new technologies improved the human condition and served for the betterment of humankind. The Committee agreed to further deepen its reflections on a United Nations system-wide engagement on the issue of artificial intelligence and requested ITU, in consultation with interested Committee members, to examine in greater depth ways to pursue a coherent and coordinated approach to respond to the challenges and opportunities of artificial intelligence, including addressing the impact on human rights and gender equality, for consideration by the Committee at its thirty-fifth session.

Conclusion

13. **On the basis of the Committee's deliberations, the draft discussion paper on artificial intelligence will be finalized, for onward submission to CEB as an input for its upcoming discussion and for further guidance. The Committee**

agreed, building on the discussion paper, to initiate efforts led by ITU to further determine and seize appropriate opportunities for system-wide engagement on this topic.

III. Cyberspace, biotechnology and new weaponry

14. Building on the discussion on artificial intelligence, the Committee considered in an integrated discussion the remaining three technological frontier issues to be considered by CEB: cyberspace, biotechnology and the impact of new technologies on peace and security. The Chair noted that the three topics, though distinct, were closely interlinked, both among themselves and with artificial intelligence. The intent was to provide inputs and recommendations to CEB on entry points for United Nations engagement that would ensure that frontier technologies developed in a way that benefitted humanity, were anchored by universal norms and standards and supported sustainable development and peace.

15. James Cockayne (United Nations University), Marie-Ange Théobald (United Nations Educational, Scientific and Cultural Organization) and Anja Kaspersen (Office of Disarmament Affairs of the United Nations Secretariat) introduced, respectively, draft discussion papers on cyberspace, biotechnology/converging biotechnologies and the peace and security implications of emerging technologies.

16. It was observed that governance of cyberspace — a patchwork of formal and informal institutions and norms composed of intersecting and overlapping technical standards, contracts, laws and intergovernmental decisions — was at a critical juncture. It was further argued that the United Nations was uniquely positioned to help States and other stakeholders to navigate the current transition peacefully and constructively, through "cyberprevention" that ensured that cybergovernance contributed to international peace and security and sustainable development and took appropriate precautions to preserve the potential benefits of cyberspace and prevent any harm to the rights and interests of people or States. Three recommended steps towards fostering this approach were:

(a) Drafting United Nations system-wide common core principles on cyberprevention;

(b) Preparing a study on operational aspects of cyberprevention to garner support for United Nations action within existing mandates, in particular:

(i) Application of existing peacekeeping, mediation and good offices techniques to the cyber era;

(ii) Provision of support to States to protect their critical infrastructure;

(iii) Engagement with the emerging global cyberinsurance industry;

(c) Considering how to strengthen the Internet Governance Forum as a venue for longer-term multi-stakeholder discussion of cyber-prevention issues.

17. In her presentation, Ms. Théobald noted that while modern biotechnology was evolving quickly and rapidly converging to form a synergistic combination across scientific and technological boundaries that had potentially transformational impacts, there were serious ethical, accountability and socio-economic challenges that needed to be addressed. While there were a number of ongoing initiatives tackling the opportunities and challenges in this field, they were largely fragmented and uncoordinated. The case was made for a key United Nations role in pushing forward a new global agenda for biotechnology as a neutral broker of globally acceptable ethics, norms, standards and other agreements to guide the actions of State and

non-State actors. Given the large disparities in biotechnology capacities among countries, it was vital to take into account what was best for the public good, based on the principles of social justice, equity, solidarity and benefit-sharing. A number of specific actions were proposed, including setting the stage for a United Nations-facilitated multi-stakeholder global dialogue; establishing a universal data-sharing repository; creating a global network of professional ethics regimes, codes and councils and national research policies; strengthening the national biosafety capacity; supporting special capacity-building programmes for developing countries; and applying an integrated approach to addressing converging technologies and their applications.

18. In her presentation, Ms. Kaspersen highlighted that artificial intelligence, cyberspace and biotechnology had already been weaponized in various ways, and thus had significant implications for peace and security. While technology and warfare had always gone hand in hand, it was the combination and convergence of technologies at an unprecedented rate that was having a tremendous destabilizing effect and challenging existing treaty systems. Increasingly, power was being determined by technological prowess rather than military capacity. Civilian technologies were being repurposed and adequate safeguards and verification regimes were not in place. A "responsible innovation space" was needed to determine which technologies to pursue and how they might need to be regulated and verified. It was important to keep existing instruments "ahead of the curve" to avoid normative gaps, assess whether any new instruments or normative frameworks might be required to ensure that novel means of warfare did not fall outside existing regimes and engage the private sector as partners and parties to new norms. Conducting a study on these implications with the participation of academia and industry actors was proposed for CEB consideration. A significant role was foreseen for the Secretary-General in promoting innovation in norm-building and using the convening power of the United Nations to elevate the role of the private sector in normative discussions on peace and security. To lead by example and competently support the necessary processes and governance systems, the United Nations system needed to build its technological literacy, retrain its staff and "get its own house in order" with respect to managing data.

19. In the ensuing discussion, the Committee expressed appreciation for the comprehensive and accessible framing of the issues articulated in the papers, as well as the precise proposals for United Nations system action within each of these multifaceted, interlinked and often politically sensitive domains. Observing that the potentially transformative benefits of these technologies could just as easily be counterbalanced by real and immediate threats, members underscored the need for a "moral compass" to guide their development, in line with universal norms and values. While acknowledging that attempts to advance certain sensitive issues were likely to meet with resistance, members nonetheless advocated for bold and assertive advocacy of those issues. The Committee strongly recognized the multidimensional and interconnected nature of these frontier technologies and their implications, which demanded a holistic whole-system approach mobilizing diverse perspectives across organizations, the Charter of the United Nations pillars, sectors and other "silos".

20. The Committee noted, as a unique feature of frontier challenges, the prominent and often leading role of non-State actors, particularly the private sector, in developing and controlling new technologies. To ensure the use of technology for the betterment of humankind, multi-stakeholder dialogue, including constructive engagement with the private sector, was imperative. In this context, existing principles and commitments (Guiding Principles on Business and Human Rights, Children's Rights and Business Principles, etc.) were recalled as a good foundation to build on. It was suggested that the Committee pursue work on reviewing the myriad principles, studies and lessons learned on working with the private sector with a view

to strengthening the United Nations system's ability to engage in genuine partnerships.

21. Observing that frontier technologies were held in only a few countries by only a few, mostly private-sector actors, there was a concern over the widening digital divide and increasing inequalities between and within countries. The Committee saw a particular role for the United Nations system to ensure that developing countries and the disadvantaged within all societies were not left further behind by the technological revolution. The need to define, assign and demand accountability for the negative impacts of technology was reiterated, with members noting that the United Nations should not shy away from supporting international regulation where it was necessary.

22. United Nations organizations, according to their mandates but as part of a coordinated effort, could provide platforms for dialogue and standard-setting, monitoring and oversight and a means to hold Governments and non-State actors accountable for actions that transgressed agreed norms. Existing mechanisms and processes (Convention on Certain Conventional Weapons, Convention on Biological Diversity, Internet Governance Forum, etc.), as well as relevant system-wide efforts, in particular the Convention on Certain Conventional Weapons framework on cybersecurity and cybercrime and the United Nations system internal coordination plan endorsed by CEB in 2014), should be utilized and further developed to the fullest extent, with priority attention to identify and route "orphan" issues that might fall between existing frameworks. Furthermore, United Nations organizations and bodies have an important role to play in building State capacities, especially in developing countries, to address the benefits and risks of these technologies.

23. With regard to the question of governance and norm-setting, the Committee underscored the importance of the Secretary-General's leadership and strong advocacy and called for the system to rally behind him as a visible and influential advocate for maximizing the social good and minimizing the risks of technology and as a good faith broker to build the necessary partnership between Governments and the private sector. The Secretary-General and United Nations system leadership could play a key role in providing an "ethical voice," proactively and assertively upholding United Nations norms, standards and values and promoting a rights-based perspective in the development and application of frontier technologies. The whole system could reinforce the Secretary-General's messages promoting the use of these technologies for the greater and equitable good of society and could help raise awareness among their respective constituencies.

24. The Committee broadly supported the variety of recommendations and proposals presented in the discussion papers. Some concern was expressed that there could be challenges associated with data-sharing repositories, as had been noted in the discussion on artificial intelligence. It was suggested that some recommendations could be rationalized and/or made bolder before being presented to CEB. The Committee stressed the need for additional analysis and knowledge-building on these frontier issues within the system in order to gain a fuller understanding of the complex challenges involved in order to prioritize concrete action by the United Nations system. It was important to pay special attention to the impact of emerging technologies on human rights and gender equality.

Conclusion

25. **The draft discussion papers on cyberspace, biotechnology and the peace and security implications of emerging technologies will be finalized on the basis of the Committee's deliberations and submitted to CEB as inputs to its forthcoming session and for further guidance.**

Deeper examination of select focus areas/nexuses of emerging challenges

IV. Future of food

26. In introducing the agenda item, the Chair recalled that the Committee, at its thirty-third session, had identified specific challenges arising from a confluence of global megatrends or "nexuses". Given their complex multidimensionality, the Committee felt that some of those nexuses merited deeper examinations and possibly system-wide engagements from the perspective of policy coherence and programmatic cooperation. The future of food was one such critical nexus identified.

27. Kostas Stamoulis (Food and Agriculture Organization of the United Nations (FAO)) introduced the discussion paper, underscoring the centrality of eliminating hunger and achieving food security and sustainable agriculture for the attainment of the 2030 Agenda. He outlined the political, policy and governance challenges of coping with a vast and dynamically evolving food and agriculture system, in which the role of States had progressively diminished and been replaced by privately owned enterprises. Bearing in mind the wide range of social, environmental and economic objectives that needed to be pursued concurrently, Mr. Stamoulis emphasized the particular role of the United Nations system in supporting member States by providing more robust and integrated policy and normative support, such as a multi-year system-wide analysis of the evolving global food system.

28. Members acknowledged that addressing the evolving landscape for food security and food system was an emerging priority critical to the realization of the 2030 Agenda. Given its multidimensional and integrated nature, it would be important for the Committee to facilitate a coordinated system-wide approach.

29. The Committee, while expressing appreciation for the analysis provided in the paper, underlined the need to further expand and deepen it. It was recommended to provide a clearer articulation of what the "future of food" might or should look like as a basis to better prioritize necessary action. It was further suggested that the analysis address additional interlinkages, such as the rights-based approach to food, early warning, climate-smart agriculture, nutrition and undernourishment, environmental degradation and equitable and sustainable access to food. Members pointed to the importance of anchoring the analysis in country-level coherence and coordination, including humanitarian-development linkage. It was proposed to reflect more prominently the role of United Nations country teams and resident coordinators in providing policy support to member States.

30. Members suggested a greater focus on social protection, including making a stronger link with the urban context and the most vulnerable groups, such as women and children, while paying attention to the potential for a demographic dividend. Some noted the need for a focus on investment in farmers' participation in rural transformation, including public-private collaboration at the national level. Additional references to value-chain issues and building capacity for market access were suggested. The possibility of including regional financial institutions for the development of regional risk pooling and management was mentioned.

31. Members felt strongly that deepening the analyses on the impact of rapidly developing frontier technologies and the positive role of technology and innovation in improving service delivery in food and agriculture would be beneficial. Artificial intelligence and its concrete applications (satellite imagery, food security hot spots, data collection on farms, rainfall, acidity levels, robotics, drones, etc.) were mentioned, as well as the implications, both positive and negative, of modern

biotechnology and bioengineering. Innovative approaches, such as new ways that food systems could be targeted as a weapon of war, deserved attention.

32. There was a consensus to revisit this topic at the next session, based on a deepened, expanded and focused analysis in order to enable the Committee to address the future of food from a frontier-issues standpoint, including a focus on cutting-edge solutions to overcome complex challenges. With regard to the way forward for the United Nations system, members recalled the Secretary-General's call for simplicity, less structure and less reporting in inter-agency endeavours and suggested that an appropriately focused proposal be developed on the basis of further analysis.

33. Mr. Stamoulis welcomed the rich feedback and inputs provided on the paper. He expressed appreciation for the Committee's consensus on the importance of addressing the full complexity of the food system and developing a multidimensional analytical scenario to address it. He agreed that FAO would further develop the analysis on this topic with the support of interested Committee members, focusing on the role of the United Nations system in coming together to eliminate hunger, promote sustainable and inclusive food systems and support achievement of the Sustainable Development Goals. In conclusion, recalling that analysis indicated that the Goals seemed unlikely to be met on current trends, the Chair noted that it would be useful for the Committee to further its understanding of this complex issue, based on a deepened and refocused analysis in view of the comments and suggestions made during the discussion.

Conclusion

34. **The Committee expressed broad support for deepening and expanding its understanding on the complex issue of the future of food with a view to developing a coordinated system-wide vision and approach, led by FAO. A revised submission will be prepared through a consultation process led by FAO, for the Committee's consideration at its thirty-fifth session.**

V. Future of work

35. The Chair introduced the item as part of the Committee's current focus on examining the nexus of interconnected global megatrends. He informed members that as part of CEB consideration of frontier issues, it was expected to address the socioeconomic implications of emerging technologies, including the future of work, at its session to be held in May 2018.

36. Sangheon Lee (International Labour Organization (ILO)) introduced the discussion paper, which had been prepared in collaboration with several interested Committee members. The paper reviewed progress to date in the world of work, including challenges and opportunities posed by global megatrends, such as globalization and the resulting spread of the global supply chain, growing inequalities, urbanization, demographic pressure, the surge of migration and climate change and many other topics. Particular emphasis was placed on the impact of rapidly evolving technological advances and the need to ensure that their benefits are maximized and equitably shared and that risks and challenges are addressed.

37. Members considered options for the Committee's role in mobilizing knowledge, expertise and capacities across the system in order to lay a foundation for coordinated and coherent response. They welcomed the opportunity to pursue value-added engagement and intellectual leadership on this topic, while building on existing initiatives. The Committee, to that end, strongly supported the proposal to initiate development of a system-wide strategy on the future of work, led by ILO, while

ensuring due links with the Committee's earlier work on equality and on youth employment.

38. There was a call for collaboration to harmonize the way the system exchanges labour-market data in order to obtain greater evidence bases to underpin analysis. Furthermore, there was recognition of the need for greater coherence between public policies and private-sector employers, including through public-private partnerships geared to support and achieve universal access to education, health, sexual and reproductive health and rights. Reference was made to the need to treat international migration as an opportunity that brought economic benefits, while promoting fair and ethical recruitment.

39. Recalling the Committee's recent work on inequalities, a strong argument was made for system-wide engagement and advocacy for linking the future of work to progressive taxation and fiscal reforms in the face of technological shifts. The rights-based approach of the Sustainable Development Goals to development and access to resources was mentioned in connection with the limited planetary boundaries and the need to focus on sustainability, social protection and industry of care around a new social contract.

40. A case for the Committee's engagement was made in connection with recent deliberations by the General Assembly and the Economic and Social Council on the future of jobs, as well as the planned work of the Second Committee. It was stressed that a coherent system-wide position could enable the United Nations to better support its membership in building policy frameworks in support of the 2030 Agenda. Some linked the discussion on the future of work to the discussion on the "future we want", noting the value of the United Nations as a unique platform where such dialogue could be held productively, with youth engagement at its centre.

41. In conclusion, the Chair noted that the Committee agreed that the complex multidimensional issues surrounding the future of work required a coordinated cross-sectoral approach and engagement, and thus strongly supported the proposal to develop a system-wide strategy. The Chair invited ILO to take into account the feedback provided and submit a further developed analysis for consideration at its next session.

Conclusion

42. **The Committee expressed strong support for deepening this work from a system-wide perspective and requested ILO to lead an inter-agency process to develop a proposal for a system-wide strategy, for consideration at its thirty-fifth session.**

United Nations system capacity to address emerging challenges

VI. Risk, prevention and resilience

43. The Chair recalled that the Committee had considered this item at three consecutive sessions, culminating in the presentation of a proposed analytical framework on risk and resilience for approval (see annex III). The proposal had already been agreed in principle by Committee and its guidance had been incrementally reflected in the interim products that had preceded the final draft proposal. A supplementary document demonstrating the practical applicability of the analytical framework was provided as reference.

44. The lead of the Committee's task team on risk and resilience, Paul Howe (World Food Programme (WFP)) introduced the analytical framework and reference document, noting that the initiative had aimed to promote a more proactive and coherent approach to efforts, across United Nations pillars, to anticipate and address threats and vulnerabilities which could set back the achievement of the Sustainable Development Goals. The analytical framework was based on three elements:

(a) Systems thinking to identify and understand the complex interlinkages among risks and other sustainable development issues at multiple levels;

(b) The risk and resilience equation to identify different efforts and expertise to reduce risk and increase resilience in a given context;

(c) A prevention lens to ensure a proactive approach. The accompanying case studies supported the conclusion that applying the framework could contribute to improved United Nations system performance and better outcomes.

45. With a view to operationalizing the analytical framework, Mr. Howe invited feedback on the way forward, including which United Nations entity or group might be best placed to promote its roll-out, what guidance or training was needed to build staff capacity on its "systems thinking" approach, which entity could support that capacity-building effort and how progress in operationalization could be monitored over time.

46. Members appreciated the work of the task team on risk and resilience and commended Mr. Howe's steadfast leadership throughout the process. Building on the agreements reached at previous discussions, the Committee reaffirmed its support for the overall approach embodied in the analytical framework, while agreeing that certain minor adjustments could be incorporated to further strengthen it. For example, the importance of its being anchored in the Sustainable Development Goals was strongly underscored, as well as its applicability to all types of shocks and stresses, including conflict and disasters, and its clearer linkage with the concepts of vulnerability and resilience. It was suggested that the analytical framework build on existing capacities and promote mutually reinforcing programming towards the achievement of collective outcomes. It was important to ensure that this work of the Committee be linked with and contribute coherently to other system-wide endeavours and frameworks, in particular the Secretary-General's strategy for resilience and the United Nations system strategic approach on climate change action.

47. The Committee's ensuing discussion focused on how best to put the analytical framework into practice. Pending CEB endorsement, the Committee supported the possibility of piloting the analytical framework in a country context through the United Nations Development Assistance Framework, championed by the resident coordinator/humanitarian coordinator and placing a stronger focus on analysing and acting on "triggers". It was foreseen that the regional United Nations Development Group teams could have a role in reviewing the application of the analytical framework and in engaging regional organizations. A possible role for the regional commissions as knowledge hubs at the regional level was suggested. At the global level, relevant United Nations Development Group mechanisms could guide implementation and monitor usage. It was emphasized that such future efforts should build on existing United Nations strategies and draw on the expertise of agencies already working on risk management and building resilience. The World Food Programme agreed to spearhead efforts to promote the awareness and utilization of the analytical framework, in cooperation with relevant operational communities and especially within the United Nations Development Group. The Chair stressed that it was incumbent on each entity to make use of the analytical framework according to its organizational context. Furthermore, it was suggested that a joint release of the

analytical framework would reinforce its common ownership and send a strong signal about the importance the United Nations system places on its implementation.

48. Building staff competence in systems thinking was widely seen as vital to the implementation of the analytical framework and, more broadly, to holistic and risk-informed planning and programming. The Committee welcomed the offer of the United Nations System Staff College to assist in building staff capacity on systems thinking and co-creation, two skills required for the implementation of the analytical framework that had been identified as critical in the CEB-endorsed United Nations system Leadership Framework. To ensure consistency in the application of the analytical framework, it was emphasized that training material should be shared across institutions for use in agency-specific staff development and guidance. Global Pulse stood ready to provide real-time and predictive data to support decision-making in the context of the analytical framework.

Conclusion

49. **The Committee approved the analytical framework on risk and resilience contained in annex III, subject to the incorporation of final comments made during the discussion, for onward submission to CEB for endorsement. The Committee requested WFP to continue to play a lead role in promoting its utilization, in cooperation with relevant mechanisms/actors.**

Information/transactional topics

VII. Summary of information items: Istanbul Programme of Action for the Least Developed Countries for the Decade 2011–2020, UN-Water, UN-Energy and UN-Oceans

50. Further to their electronic review and endorsement in advance of the session, the Committee took note of the progress report on the ongoing effort to mainstream the Istanbul Programme of Action for the Least Developed Countries for the Decade 2011–2020 into the work programmes of United Nations system organizations, submitted by the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States (see annex IV) and of the progress reports of UN-Water, UN-Energy and UN-Oceans (see annexes V, VI and VII).

VIII. Other matters

A. Location and dates of the thirty-fifth session

51. The Chair proposed that the thirty-fifth session be held at United Nations Headquarters on 9 and 10 April 2018.

Conclusion

52. **The Committee approved the proposed location and dates of its thirty-fifth session.**

B. Any other business

53. The representative of UN-WOMEN shared, electronically in advance of the session, an information report on the recommendations made by the Secretary-General's High-Level Panel on Women's Economic Empowerment, with the aim of promoting their integration, as relevant, into member entities' plans and programmes in support of the overall achievement of the Sustainable Development Goals.

Conclusion

54. **The Committee took note of the information shared by UN-Women.**

C. Closing of the session

55. In closing the session, the Chair pledged to build on and further deepen the Committee's recognized strengths and accomplishment in its future programme of work as a driver of system-wide coherence and coordination on global policy challenges.

Annex I

Agenda

Horizon-scanning of emerging issues
(with focus on frontier issues in the domain of technology)

1. Artificial intelligence.
2. Cyberspace, biotechnology and new weaponry.

Deeper examination of select focus areas/nexuses of emerging challenges

3. Future of food.
4. Future of work.

United Nations system capacity to address emerging challenges

5. Risk, prevention and resilience.

Information/transactional topics

6. Summary of information items: Istanbul Programme of Action for Least Developed Countries for the Decade 2011–2020, UN-Water, UN-Energy and UN-Oceans.
7. Other matters.
   (a) Location and dates of the thirty-fifth session;
   (b) Any other business.

Annex II

List of participants

Chair: Guy Ryder (International Labour Organization)

Vice-Chair: Navid Hanif (Department of Economic and Social Affairs)

Secretary: Kayoko Gotoh (Department of Economic and Social Affairs)

United Nations

Executive Office of the Secretary-General	Michelle Gyles-McDonnough Ayaka Suzuki
Department of Economic and Social Affairs	Navid Hanif
Office of the United Nations High Commissioner for Human Rights	Craig Mokhiber
Regional commissions	Amr Nour
Office for the Coordination of Humanitarian Affairs	Marcia Vigoda David Kelly
Office for Disaster Risk Reduction	Robert Glasser Shoko Arakaki
United Nations Framework Convention on Climate Change	Daniele Violetti
Department of Political Affairs	Eugenia Zorbas
Office of Disarmament Affairs	Anja Kaspersen
Global Pulse	Robert Kirkpatrick
International Labour Organization	Andre Bogui Christophe Perrin Shenjie Li Vinicius Pinheiro Sangheon Lee
Food and Agricultural Organization of the United Nations	Kostas Stamoulis Michael Clark
United Nations Educational, Scientific and Cultural Organization	Marie-Ange Theobald Mohamed Djelid
International Civil Aviation Organization	Mitchell A. Fox
World Health Organization	Dr. Shambhu Acharya Ivana Milovanovic
World Bank Group	Bjorn Erik Gillsater Naoto Kanehira
International Monetary Fund	Christopher Lane
Universal Postal Union	Abdellatif Meskine

International Telecommunication Union	Doreen Bogdan-Martin Mario Castro Grande Preetam Maloor
World Meteorological Organization	Rob Masters Paul Egerton
International Maritime Organization	Arsenio Dominguez
World Intellectual Property Organization	Dalila Hamou Victor Owade Enayet Mowla
International Fund for Agricultural Development	Paul Winters Torben Nilsson
United Nations Industrial Development Organization	Ayumi Fujino
World Tourism Organization	Márcio Favilla Zoritsa Urosevic
International Atomic Energy Agency	Meena Singelee
World Trade Organization	Said El Hachimi
International Organization for Migration	Ashraf El Nour
United Nations Conference on Trade and Development	Paul Akiwumi
United Nations Development Programme	Magdy Martínez-Solimán Maria Luisa Silva Patrick Gremillet
United Nations Environment Programme	Maaike Jansen
United Nations High Commissioner for Refugees	Arafat Jamal Rhitu Siddharth
United Nations Children's Fund	Marilena Viviani Madhavi Ashok
United Nations Population Fund	Ramiz Alakbarov Ingo Piegler
World Food Programme	Stanlake Samkange Paul Howe
United Nations Office on Drugs and Crime	Gillian Murray Neil Walsh
United Nations Human Settlements Programme	Kazumi Ogawa
United Nations Entity for Gender Equality and the Empowerment of Women	Aparna Mehrotra
United Nations University	James Cockayne
Joint United Nations Programme on HIV/AIDS	Abigail David

United Nations System Staff College	Claire Messina
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Annex III

Adopting an analytical framework on risk and resilience: a proposal for more proactive, coordinated and effective United Nations action

Prepared by a task team led by the World Food Programme

Introduction

1. The 2030 Agenda for Sustainable Development represents humanity's goals for the next 13 years. However, in the context of increasingly frequent, severe and complex natural and human-induced threats, there is growing concern that numerous crises will set back efforts to achieve these goals. Several concepts — including risk, resilience and prevention — have been identified as having the potential to create an analytical framework for a more proactive, coordinated and effective approach to addressing these crises. The creation of such a framework will be critical to maintaining the universal norms and standards that the United Nations represents in this challenging period. Recognizing the importance of this issue, in May 2016, the High-Level Committee on Programmes formed an informal task team to explore the linkages among the concepts and to determine whether they could serve as "common threads" across the humanitarian and development, peace and security and human rights pillars to bring greater coherence to United Nations efforts in this area. Representing the agreed outcomes of the Committee process, this paper proposes an analytical framework on risk and resilience that the United Nations can use to maximize the effectiveness and impact of its support to the achievement of the Sustainable Development Goals.

I. Key findings

2. In its deliberations, the Committee has agreed upon four broad findings:

- **Risk and resilience can serve as useful framing concepts for addressing crises more proactively.** The two concepts have evolved into almost mirror opposites of each other, associated with a similar spectrum of actions,[1] but with resilience representing the positive ability to manage the potential negative consequences of risk. Within this context, prevention can be understood as one of the possible actions that can be taken to reduce risk and increase resilience. While recognizing the overarching nature of risk and resilience, it was strongly felt that the concepts of "prevention" and "vulnerability" should not be lost in any new approach.

- **A risk and resilience approach needs to reflect a complex, interconnected reality.** Risks arise from multiple, interrelated threats and vulnerable conditions, which can be generated externally (e.g., drought or cyclone) or internally (e.g., poor policy choices). They have complex drivers and knock-on effects that must be understood. At the same time, resilience can relate to multiple levels and take a wide variety of forms. Any new approach for addressing crises in a more proactive, coordinated and effective manner needs to account for and bring

[1] Resilience is associated with actions such as "prevent, resist, absorb, adapt, respond and recover", while disaster risk management describes relevant efforts as prospective (avoiding creation of new risk), corrective (reducing existing risks, including preparedness, early warning and mitigation) and compensatory (managing residual risks, including response and recovery). The concepts are therefore associated with a similar spectrum of actions.

greater clarity to these complexities and be able to function at multiple levels, ranging from the global to the subnational. In so doing, the approach must strike a balance between capturing a complex reality and remaining simple enough to be operationally relevant and useful.

- **Risk and resilience can serve as "common threads" across United Nations pillars.** Many of the actions associated with risk and resilience under the humanitarian and development pillar are already echoed in the approaches of other pillars, such as "sustaining peace" under peace and security, and "protection" under human rights. However, any new approach needs to be broad and flexible enough to incorporate existing tools and to allow each of the pillars to contribute as part of a collective whole.

- **The use of terms should be harmonized.** In order to ensure that these efforts are effective, the United Nations requires a harmonized set of terminology. Risk, resilience and related concepts have evolved for different purposes at different times in different contexts, often in isolation from each other, with different usages by different communities of practice. However, drawing on existing harmonization efforts, any new approach should be based on agreed definitions that span and are relevant to all the United Nations pillars (see appendix).

3. These findings have shaped and informed the approach proposed under this analytical framework on risk and resilience.

II. Proposed analytical framework on risk and resilience

4. Based on these findings, the Committee concluded that three elements could be combined to create a more proactive and coordinated approach to addressing all types of potential threats that could set back progress on the Sustainable Development Goals:

- **Systems thinking to identify risks and their complex interrelationships.** Systems thinking can be used to describe the fundamental relationships among risks and other sustainable development issues at multiple levels — global, regional, national and subnational;

- **Risk and resilience equation to identify measures to lower risks.** A risk and resilience equation can be used to organize the efforts across pillars to lower the risks and to define collective outcomes;

- **Prevention lens to guide the implementation of these measures.** A prevention lens[2] can be used to ensure, to the extent possible, that a proactive approach is taken when implementing measures to increase resilience and lower risks and impacts.

5. The sections below describe each of these key elements of the analytical framework and illustrate their application with a hypothetical country example.[3]

[2] A prevention lens is consistent with the Secretary-General's larger vision for the United Nations approach to crises.

[3] Once the broad approach is agreed, more detailed, step-by-step guidance will be developed to explain how each element can be operationalized in practice.

A. Systems thinking to identify risks and their complex interrelationships

6. United Nations country teams are often able to describe the key risks in their context, whether they relate to an immediate crisis or longer-term development processes. There are a number of existing tools that have been developed to identify and prioritize risks, ranging from "likelihood and impact" matrices and the mapping of trends over time to sophisticated, multi-variable analysis.[4] The potential of real-time, predictive analytics and big data for decision-making can be utilized. However, it is sometimes difficult to fully grasp the complex interlinkages between these risks and other issues and therefore to make informed decisions about how best to address them. A systems thinking approach can help.

7. In order to understand the interlinkages and dynamics it is important to identify the "universe" of issues that may be relevant. In many cases, the 2030 Agenda can be used as a starting point since it represents a compilation of the range of possible sustainable development concerns facing countries. In order to visualize the relationships among them the issues can be grouped according to the five Ps presented in the 2030 Agenda: people, planet, prosperity, peace and partnership (see figure I).[5] While the headings of the Sustainable Development Goals can provide a guide, the actual characterization of the issues can depend on, and may be tailored to, the particular context.

Figure I
Key development issues

8. Where helpful, the issues can be colour-coded (e.g. green for "on track", amber for "not fully on track", red for "off track") as an indication of whether the country is making adequate progress in achieving the Sustainable Development Goals. This colouring may provide an initial indication of the sustainable development concerns — and therefore priorities — at the country or other levels. But it is critical to then map the interrelationships within the entire system. In some cases the development dynamic

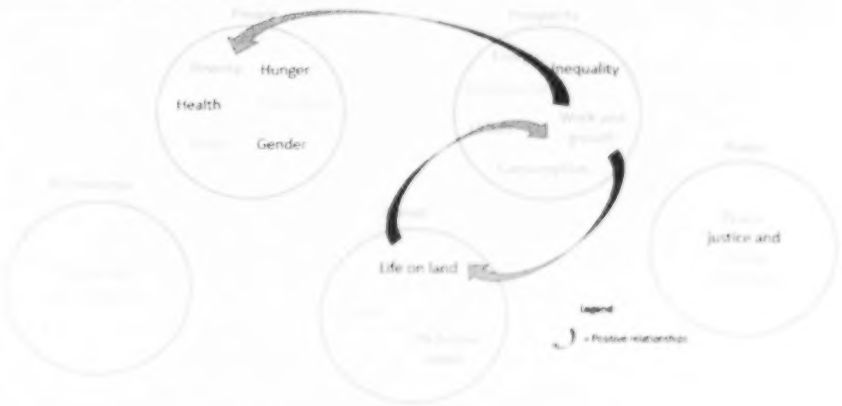
[4] Existing tools include the Index for Risk Management (INFORM) initiative, integrated context analysis, the Co-Benefits Risk Assessment (COBRA) screening model, resilience systems analysis and crisis risk dashboards, among others.

[5] While the Sustainable Development Goals represent the "universe" of issues, there may be contextual factors, such as history and culture, which may influence the dynamic and might need to be incorporated into the approach.

will generate risks that need to be foreseen, while in other cases the risks may be known and the interrelationships need to be clarified.

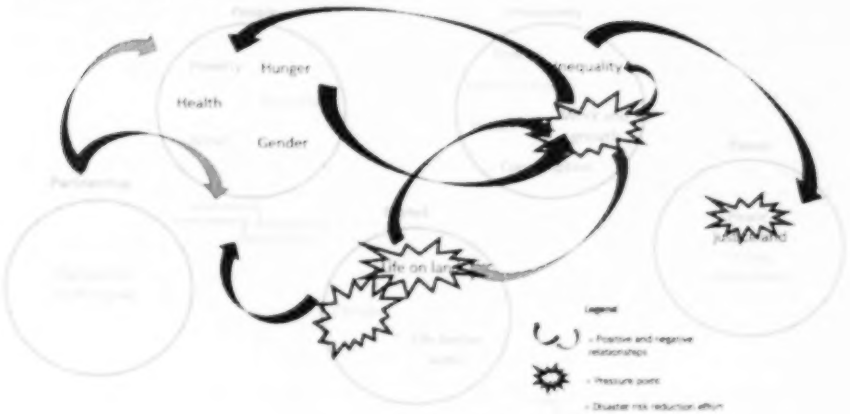
9. A hypothetical example may help to fix ideas. A country may be achieving high rates of economic growth and poverty reduction by rapidly consuming its natural resources, such as timber. Graphically, the use of "life on land" in the form of timber leads to the high economic growth and the reduction of poverty (see figure II). At first glance, the country seems to be on a strong development path.

Figure II
Initial mapping of dynamics



10. However, the underlying dynamics suggest fundamental risks to sustaining this development (see figure III). The country has not invested sufficiently in the other aspects of "people": addressing undernutrition, providing universal education, addressing gender disparities and ensuring adequate health services. As a result, the human capital basis for future economic growth is being undermined. At the same time, the consumption of the finite natural resources is quickly eroding the current foundations of economic growth, which in turn may lead to economic collapse, increasing poverty and the exacerbation of inequalities. The resulting tension presents a real threat of political instability and violent conflict, especially with upcoming elections. Moreover, the country faces the external risks of repeated natural hazards, such as cyclones and droughts, which set back development gains.

Figure III
Fundamental dynamics and key risks



11. Currently, the partners are working on human capital and disaster risk management but the dynamics point to other areas of concern: the diversification of growth (Goal 8), climate and environmental resource management (Goals 13 and 15) and the prevention of violent conflict (Goal 16). Because of the interconnections, these risks result both from the current way that the development system is internally functioning (e.g., unsustainable use of natural resources) and from threats that arise at least in part externally (e.g., cyclones). The risk areas might become the focus of collective outcomes.[9] At the same time, the potential solutions — such as investment in human capital — can simultaneously improve the "functioning" of the system and reduce risk and increase resilience. It is in the overlap that leverage within the system can be found and that appropriate actions can be identified to achieve the collective outcomes.

B. Risk and resilience equation to identify measures to lower risks

12. Each of these risk areas can then be examined using the risk and resilience equation to identify the set of actions across the United Nations pillars that would help address the concerns. While it is acknowledged that there are many possible formulations of the equation and it does not represent an actual quantitative, mathematical relationship, there is some broad consensus on the elements across the pillars:

$$\text{Risk} = \frac{\text{Threat x Vulnerability}}{\text{Capacity}}$$

[9] It is critical both to make progress towards achieving the Sustainable Development Goals and to address potential threats that can set back that progress. Collective outcomes could be focused on either of these highly interrelated areas, but in this paper on risk and resilience, the primary focus is on the threats that might set back the progress.

13. Since resilience can involve efforts to reduce threat[7] and vulnerability and increase capacities,[8] it might be argued that the equation could be read as indicating that resilience is the inverse of risk: Risk = 1/Resilience. However, caution must be used to avoid making oversimplistic relationships. While risk is a technical concept for which quantitative measures are often sought, resilience has normative connotations and is more difficult to measure.[9]

14. Nevertheless, even with these caveats, the value of the equation is that it enables the United Nations system to come together around a single approach (i.e., the equation) to analyse risks and plan jointly a collective response. It allows the United Nations system to identify what each organization, across the pillars, is doing to reduce threats and vulnerabilities and to increase capacities related to a specific risk, with due attention to the linkages to other risks. As a result, instead of a fragmented, incoherent approach, it becomes possible to develop a mutually reinforcing, complementary strategy to increase overall resilience and reduce overall risk in a given situation that draws on the expertise across the system.

15. In our example, the threat of violent conflict (Goal 16) creates the risk of serious negative consequences across pillars: humanitarian needs and setbacks to development efforts, insecurity and human rights violations. The risk and resilience equation can be used to organize, jointly as a system, cross-pillar efforts (see figure IV).

Figure IV
Cross-pillar actions to reduce risk and increase resilience

Risk	Resilience Actions			
Description	Pillar	Reduce threat	Reduce vulnerability	Increase capacity
Conflict leads to humanitarian needs and development setbacks, insecurity and widespread rights violations	Peace and security	• Reduction of political exclusion and inequalities • Preventive diplomacy and mediation	• Good governance • Inclusive grievance mechanisms	• Institution strengthening
	Humanitarian and development	• Economic diversification • Reduction of socioeconomic exclusion and inequalities	• Social safety nets • Environmental resource management	• Human capital strengthening • Institution strengthening
	Human rights	• Civilian control over security forces strengthened	• Improvement of the enabling environment	• Strengthening of human rights commission

[7] In this formulation, a "threat" represents a combination of hazards and their characteristics, including location, likelihood and intensity, on the one hand, and exposure to these hazards, on the other.

[8] The actions associated with resilience and risk management would need to "map" onto these categories of threat, vulnerability and capacity. That is, efforts to "resist" might focus on reducing vulnerability and increasing capacity. Similarly, "corrective" risk management, involving preparedness, early warning and mitigation, might be directed at threat, vulnerability and capacity.

[9] For both risk and resilience, acceptable thresholds must be defined and agreed.

16. Anticipating a potential violent conflict, the peace and security pillar could reduce the threat by helping to minimize political exclusion and engaging in preventive diplomacy and mediation, while the humanitarian and development pillar might support longer-term economic diversification and reduce economic and social exclusions and inequalities in an effort to address an underlying driver of discontent. At the same time, the United Nations pillars could work in a complementary manner to lower vulnerability by focusing on good governance and inclusive grievance mechanisms, supporting safety nets and environmental resource management and strengthening the enabling environment for human rights. Finally, the country's capacity could be increased by institution strengthening, human capital investments and the enhancement of the human rights commission.

17. These efforts across the pillars would contribute to different aspects of addressing the risk and resilience equation, sometimes overlapping and often reinforcing but creating a unified, holistic and integrated approach to the risk that recognizes the interlinkages in the United Nations responses. They could therefore all align to support a collective outcome around preventing the occurrence of violent conflict.

C. Prevention lens to guide implementation of these measures

18. A prevention lens for these collective outcomes can help ensure a more proactive approach in efforts to increase resilience and reduce risk. It would mean having prevention, rather than reaction, as the default approach and would involve acting early, forcefully and consistently. Acting early would entail a "no regrets" policy but would be informed by the best data and analysis available and clear trigger points. Acting forcefully would involve taking actions commensurate to the scale of the risk. Acting consistently means that prevention efforts would not be limited to stopping a threat from materializing but would involve preventing greater negative consequences as well, including knock-on effects, at each stage of a crisis. This view of prevention is already echoed across United Nations pillars. Public health speaks of primary, secondary and tertiary prevention, suggesting that it is an integral part of containing an evolving situation at each stage. Similarly, the "sustaining peace" and "human rights up front" initiatives are focused on taking a more proactive approach.

19. In our example, the United Nations and partners are anticipating the threat of violence and consciously trying to prevent it from materializing by acting early and forcefully to address drivers of conflict (Goal 16). But a prevention lens suggests that this larger aim can be pursued at other points. If despite these efforts violence erupts, the peace and security actors could employ a range of other tools, including the deployment of a peace operation following Member State authorization to contain its spread and limit the potential knock-on effects; development actors could strengthen institutions; humanitarian actors could meet emergency needs in a conflict-sensitive manner that avoids doing harm and, where possible, contributes to peace; and human rights actors could monitor and respond to violations and work to prevent new ones.

III. Way forward

20. By providing a means to address, proactively and holistically, potential setbacks to progress on the Sustainable Development Goals, this analytical framework on risk and resilience could serve as an essential tool for supporting United Nations system-wide efforts to achieve the 2030 Agenda. Given its emphasis on bringing together the different United Nations pillars around collective outcomes and its applicability to all types of threats, it represents an attempt to operationalize the humanitarian-

development-peace-human rights nexus and complements existing initiatives, such as the "New Way of Working" initiative of the Agenda for Humanity and the United Nations System Strategic Approach on Climate Change Action.

21. There are several potential practical uses of the approach proposed under this framework:

- **Helping coordinate more effective United Nations interventions at the country level.** The framework could be used to help the United Nations to identify, through joint analysis, the key risks, existing capacities at different levels of society and collective outcomes for action. This would better assure mutually reinforcing programming and help articulate the coherent cross-pillar actions required under successive United Nations Development Assistance Frameworks to support the achievement of the Sustainable Development Goals.
- **Providing a key topic for staff development across the system.** To enhance its ability to implement this approach, the United Nations could pursue capacity strengthening on systems thinking and co-creation — two skills identified at the core of the CEB-endorsed United Nations System Leadership Framework — both for the whole system, by the United Nations System Staff College, and as an integral part of agency-level training efforts.
- **Bringing greater conceptual clarity to many pillar-specific approaches to managing risk and building resilience.** This analytical framework may assist in harmonizing and enhancing coherence across pillar-specific risk and resilience efforts. It can help demonstrate the linkages and complementarities among them, identify how they each contribute to collective outcomes and clarify any pillar-specific needs and requirements.

22. To operationalize this approach, it is recommended that after a joint launch, the analytical framework should be piloted in selected countries through the UNDAF process, led by resident coordinators with the strong support of United Nations country teams. At the regional and global levels, relevant United Nations Development Group mechanisms should guide the implementation and use of the analytical framework. Such future efforts should build on existing United Nations strategies and draw on the expertise of agencies already working on risk management and building resilience.

23. To fully achieve the 2030 Agenda, it is critical both to make progress towards the Sustainable Development Goals and at the same time to proactively address threats that could set back that progress. The analytical framework on risk and resilience is intended to provide an approach for addressing potential setbacks. When combined with effective efforts to make progress on the Sustainable Development Goals, it could help promote a more comprehensive and integrated system-wide engagement, as called for by the 2030 Agenda. It is therefore hoped that this conceptual-level work can make a contribution to broader strategic efforts of the United Nations, including, above all, the Secretary-General's reform initiatives.

Appendix

Harmonized definitions

To the extent possible, the definitions used in this analytical framework on risk and resilience draw upon existing harmonization efforts, such as those of the Open-ended Intergovernmental Expert Working Group on Indicators and Terminology Relating to Disaster Risk Reduction (see list of sources below). Where definitions have been adjusted to be more encompassing of all United Nations pillars or alternatives have been used, an explanation is provided.

Capacity: The combination of all the strengths, attributes and resources available within an organization, community or society to manage and reduce risks and strengthen resilience. *(based on OEWG 2016)*

> *Explanation*: This version of the OEWG 2016 definition removes the word "disaster" before the word "risks" to make the term "capacity" relevant to other types of risk as well.

Exposure: The situation of people, infrastructure, housing, production capacities and other tangible human assets located in hazard-prone areas. *(OEWG 2016)*

Hazard: A process, phenomenon or human activity, including violent conflict and human rights violations, that may cause loss of life, injury or other health impacts, property damage, social and economic disruption or environmental degradation. *(based on OEWG 2016)*

> *Explanation*: The OEWG 2016 definition focused on disaster risk reduction, which deals with a range of natural, anthropogenic and socionatural hazards. However, it does not include violent conflict and human rights violations. These have therefore been explicitly added in the definition above.

Prevention: Activities and measures to avoid existing and new risks and the actual impacts of hazards. *(based on OEWG 2016)*

> *Explanation*: This version of the OEWG 2016 definition removes the word "disaster" before the word "risks" to make it more encompassing of other hazards, such as violent conflict and human rights violations. It acknowledges that prevention avoids not only existing and new risks but the actual impacts of the hazards as well.

Resilience: The ability of individuals, households, communities, cities, institutions, systems and societies to prevent, resist, absorb, adapt, respond and recover positively, efficiently and effectively when faced with a wide range of risks, while maintaining an acceptable level of functioning and without compromising long-term prospects for sustainable development, peace and security, human rights and well-being for all. *(United Nations Development Group Inter-Agency Standing Committee 2015)*

> *Explanation*: This United Nations Development Group Inter-Agency Standing Committee definition reflects the evolving understanding of resilience. It represents a broadening of the concept from its origins in the study of ecosystems and earlier conceptions that focused on absorptive, adaptive and transformative capacities in response to natural hazard events, with less emphasis on proactively preventing or resisting them. The OEWG 2016 definition is based on the earlier conceptions and therefore has not been used in this instance.

Risk: The potential loss of life, injury or destroyed or damaged assets which could occur to a system, society or a community in a specific period of time, determined

probabilistically as a function of hazard, exposure, vulnerability and capacity (i.e., Risk = Threat x Vulnerability Capacity) *(based on OEWG 2016)*

Explanation: This definition of risk is identical to the OEWG 2016 definition of "disaster risk". The word "disaster" has been removed to make it more encompassing of other types of risks. It makes an explicit link back to the "risk and resilience equation".

Threat: A combination of hazard and exposure encompassing both the events that could occur and the people or assets potentially affected by them. *(based on INFORM 2017)*

Explanation: The term "threat" comes from the protection field and is used in its equivalent of the "risk and resilience equation". It combines hazard and exposure, simplifying the risk and resilience equation, giving it a wider, more encompassing resonance that goes beyond natural hazards and reflecting a grouping used by the Index for Risk Management (INFORM) initiative. The OEWG 2016 report does not define the term and the wording here has been drawn from INFORM even though it does not explicitly use the term "threat".

Vulnerability: The conditions determined by physical, social, economic and environmental factors or processes which increase the susceptibility of an individual, a community, assets or systems to the impacts of hazards. (OEWG 2016)

Sources

INFORM 2017:	INFORM Global Model: Interpreting and Applying: guidance note
OEWG 2016:	Report of the Open-Ended Intergovernmental Expert Working Group on Indicators and Terminology Relating to Disaster Risk Reduction
UNDG-IASC 2015:	United Nations Development Group/Inter-Agency Standing Committee Principles on Fostering Resilience

Annex IV

Progress report on implementation of the Istanbul Programme of Action for the Least Developed Countries for the Decade 2011–2020: investment promotion for the least developed countries

Prepared by the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States

1. In paragraph 69 of the Political Declaration of the Comprehensive High-level Midterm Review of the Implementation of the Istanbul Programme of Action for the Least Developed Countries for the Decade 2011–2012, which was adopted in Antalya, Turkey, in May 2016 and endorsed by the General Assembly in its resolution 70/294, the Secretary-General, in his capacity as the Chair of CEB, was invited to include the issue of investment promotion regimes for the least development countries in its agenda, with a view to enhancing the effectiveness of United Nations system support for increasing the flow of foreign direct investment (FDI) to the least developed countries and their ability to attract such investment. The invitation was reiterated by the Assembly in paragraph 23 of its resolution 71/238, while in paragraph 24 of the same resolution it reiterated its invitation to the Economic and Social Council to discuss investment promotion regimes for least developed countries at its annual forum on financing for development follow-up. In paragraph 11 of its 2017 agreed conclusions and recommendations, the Council forum encouraged an increase in the volume, quality, diversification and long-term nature of FDI to all developing countries, with specific reference to least developed countries, including through strengthening investment promotion regimes, strategies and agencies, as well as addressing the problem of the scale of the market and size of projects as obstacles to FDI (see E/FFDF/2017/3).

2. As set out in an information paper (CEB/2016/HLCP32/INF.2), the Inter-Agency Consultative Group mechanism for least developed countries, led by the Office of the High Representative for the Least Developed Countries, Landlocked Developing Countries and Small Island Developing States, in consultation with the CEB Cluster on Trade and Productive Capacity led by the United Nations Conference on Trade and Development (UNCTAD), was asked to develop recommendations on how the United Nations system could best enhance the overall effectiveness of its support to increase FDI to the least developed countries and their ability to attract such investment.

3. The Office of the High Representative, in collaboration with UNCTAD, prepared a set of short, pragmatic recommendations intended to help increase the coverage, scope and effectiveness of United Nations system support for investment promotion to the least developed countries. The recommendations were discussed at a meeting of the Inter-Agency Consultative Group held in Geneva on 9 February 2017 and brought to the attention of the members of the CEB Inter-Agency Cluster on Trade and Productive Capacity. The recommendations (see CEB/2017/HLCP33/INF.1) were taken note of by the High-Level Committee on Programmes at its thirty-third session (see CEB/2017/4, paras. 44 and 45) and subsequently by CEB at its first regular session of 2017 (see CEB/2017/1).

4. The sixth recommendation calls for the creation of an Inter-Agency Technical Committee, the first meeting of which was scheduled to take place on 21 September 2017 at United Nations Headquarters. It is intended to discuss the follow-up to the

remaining five recommendations, including a proposal for an Internet-based tool to increase and facilitate the sharing of information on investment promotion activities; a draft project proposal for a dedicated capacity-development programme for least developed countries investment promotion agencies; an investment monitor for least developed countries to annually provide analysis and updates on investment trends, opportunities and challenges in least developed countries; and the organization of a ministerial-business executive round table on investment in least developed countries for the Sustainable Development Goals at the UNCTAD World Investment Forum to be held in Geneva in 2018.

5. The Office of the High Representative and UNCTAD will host a dialogue at which all agency members of the Inter-Agency Consultative Group can briefly present their approach to investment promotion for the least developed countries. After these presentations, representatives of least developed countries will be given the opportunity to present their needs and priorities in the area of investment promotion. This dialogue will help inform further deliberations of the Committee on this topic.

Annex V

Progress report on UN-Water

Prepared by the Department of Economic and Social Affairs, United Nations Secretariat

I. Delivering as "One United Nations" on water and sanitation

1. UN-Water is the United Nations inter-agency coordination mechanism aiming to maximize system-wide coordinated action and coherence on all freshwater-related issues, including sanitation, comprising 31 members of the United Nations system and 39 international partners who are key stakeholders in the international water community.

2. In response to the 2030 Agenda for Sustainable Development, UN-Water continues to work around three lines of work:

(a) Informing policy processes and emerging issues;

(b) Supporting monitoring and reporting on water and sanitation;

(c) Building knowledge and sharing lessons learned and best practices to inspire and facilitate action.

The internal structure of UN-Water has now been streamlined around these three tracks and an external evaluation was scheduled to commence in September 2017 to assess performance against delivering on its three lines of work.

II. Latest achievements of UN-Water

A. Providing coordinated and coherent technical support to Member States

3. As a contribution to the consolidated knowledge base for water and sanitation, UN-Water published a worldwide assessment of freshwater quality analytical brief, which considered how the increasing pollution of fresh water in both developing and developed countries is a growing risk to public health, food security and nutrition, biodiversity and other ecosystem services. Land-to-sea pollution is a growing threat and was discussed during a joint event with UN-Oceans on the margins of the Ocean Conference held at United Nations Headquarters in June 2017.

4. UN-Water provided support to ongoing discussions on the United Nations capacity to deliver on Sustainable Development Goal 6. For example, prior to the first working-level dialogues on water convened by the President of the General Assembly, UN-Water presented its structures, related mandates and work at an informal briefing on United Nations-related activities in the water sector.

5. In its resolution 71/222 establishing the International Decade for Action, "Water for Sustainable Development", 2018–2028, the General Assembly invited UN-Water to support the Secretary-General, within existing resources, in the planning and organizing of the Decade and its implementation. In response, a UN-Water task force gathered input from members and partners on activities that will support the Decade's objective to energize action and advance progress on the 2030 Agenda for Sustainable Development. These responses were consolidated into a draft input to the planning and organization of the International Decade for Action, which was endorsed by UN-Water at its 27th meeting, held in Stockholm on 25 and 26 August 2017.

B. Monitoring and reporting on water and sanitation

6. The UN-Water Integrated Monitoring Initiative is an inter-agency partnership for monitoring water and sanitation under the 2030 Agenda for Sustainable Development. The work of the Integrated Monitoring Initiative, including the work of the World Health Organization/United Nations Children's Fund Joint Monitoring Programme, the Global Environmental Management Initiative and the UN-Water Global Analysis and Assessment of Sanitation and Drinking-Water, has largely focused on the global rollout of the 2016–2017 baseline for Sustainable Development Goal 6 indicators with the aim of generating a robust baseline for each global indicator in as many countries as possible. With its pilot phase coming to an end, the global rollout will culminate in a global workshop scheduled to be hosted by the Netherlands in November 2017.

7. UN-Water is preparing a flagship publication, the *UN-Water Sustainable Development Goal 6 Synthesis Report 2018 on Water and Sanitation*, as the main coordinated input to the 2018 High-Level Political Forum on Sustainable Development. The *Synthesis Report* will provide Member States, policy and decision makers and other stakeholders with the global status of progress towards the achievement of Goal 6, an analysis of the main interlinkages within Goal 6 and among Goal 6 and other Goal and policy perspectives on how to support the achievement of Goal 6. Demonstrating how this report delivers as "one United Nations", the *Synthesis Report* will carry a United Nations copyright and an ISBN number.

C. Building knowledge and inspiring action

8. UN-Water celebrated the theme of United Nations World Toilet Day, "Toilet and jobs", with the launch of training tools to adapt existing ILO work on occupational safety and health for employers and Governments and to support better jobs and work in the sanitation sector.

9. World Water Day 2017 and World Toilet Day 2017 aligned around the theme of wastewater, with the respective tag lines "Why waste water" and "Where does your poo go?" The social media engagement for World Water Day saw a 50 per cent increase in digital engagement and a maximum potential reach of 2.4 billion people, mainly thanks to a strong celebrity participation and a high conversation rate in India. These global campaigns are substantively supported by the annual *World Water Development Report*. The 2017 *World Water Development Report*, on the theme "Wastewater: the untapped resource", informs decision makers, Governments, civil society and the private sector about the importance of managing wastewater as an undervalued and sustainable source of water, energy, nutrients and other recoverable by-products, rather than something to be disposed of or a nuisance to be ignored.

10. UN-Water members and partners agreed on the following World Water Day themes: "Nature for water" (2018), "Leaving no one behind" (with a focus on displaced persons and human rights) (2019) and "Water and climate change" (2020).

Annex VI

Progress report on UN-Energy

Prepared by the Department of Economic and Social Affairs, United Nations Secretariat

1. Sustainable energy is a key enabler of sustainable development for all countries and all people. Energy is critical to tackling poverty eradication, while decarbonizing energy is central to mitigating climate change. The importance of energy in the 2030 Agenda for Sustainable Development has been recognized by Member States through the inclusion of a stand-alone and dedicated Sustainable Development Goal on energy (Goal 7: Ensure access to affordable, reliable, sustainable and modern energy for all). The Addis Ababa Action Agenda calls for the promotion of both public and private investment in energy infrastructure and clean energy technologies towards ensuring universal access for all for all to affordable, reliable modern and sustainable energy services by 2030.

2. As the principal United Nations mechanism for inter-agency collaboration in the field of energy, UN-Energy helps ensure coherence of United Nations system multidisciplinary support provided to countries in their transition to sustainable energy. Consisting of over 25 United Nations and related organizations, it aims to increase the sharing of information, maintain an overview of ongoing and planned work within the system and build and strengthen synergies among independent initiatives, organize regular exchanges of views on policy in the field of energy and related activities, develop partnerships and a database on the roles, potentials, strengths and programmes of relevant stakeholders, encourage and facilitate joint programming and develop action-oriented approaches to coordination.

3. During 2017, the work of UN-Energy and its members has focused on supporting the 2030 Agenda for Sustainable Development, including efforts to strengthen enabling environments, effective institutions, technology transfer, capacity-building, financing and multi-stakeholder partnerships to achieve sustainable development. Synergies have been promoted and deepened by activities in support of General Assembly resolution 67/215, in which the Assembly declared 2014–2024 the United Nations Decade of Sustainable Energy for All. The work included but was not limited to:

- Supporting the development of the global indicators for Sustainable Development Goal 7: a robust, transparent and integrated follow-up and review framework is crucial for helping countries implement the 2030 Agenda. UN-Energy and its members have been instrumental in supporting the Inter-Agency and Expert Group on Sustainable Development Goal Indicators by providing consolidated proposals on the development and refinements of the indicators for Goal 7.

- Supporting an international symposium on the theme "Progress on Sustainable Development Goal 7 and its interlinkages with other Sustainable Development Goals", held in Bangkok and including discussions on good practices and challenges to Goal 7 and its interlinkages with other Sustainable Development Goals and on the development of a road map for the review of Goal 7 in support of the 2018 High-Level Political Forum on Sustainable Development.

4. The first global review of Goal 7 leading up to the 2018 High-Level Political Forum presents an opportunity to explore effective innovative mechanisms to accelerate implementation of global goals and targets in energy. Key priority actions to be undertaken by UN-Energy and its members could include:

- Developing a United Nations-system wide comprehensive work programme and results framework in support of the implementation of Goal 7 to strengthen coherence and coordination, supported by UN-Energy.
- Strengthening support for voluntary national reviews of the Sustainable Development Goals, including on Goal 7 and its interlinkages with other Goals.
- Supporting a global preparatory meeting on Goal 7, to be convened by the Department of Economic and Social Affairs in early 2018 in support of the global review at the 2018 High-Level Political Forum.
- Strengthening the efforts by United Nations inter-agency teams to define and monitor specific linkages between energy and other Sustainable Development Goals, including those relating to education, water, health, food security and nutrition and poverty. This work could be facilitated by UN-Energy and could include experts from CEB organizations and bodies, such as the Department of Economic and Social Affairs, FAO, the International Fund for Agricultural Development, the World Health Organization, the United Nations Environment Programme, the United Nations Educational, Scientific and Cultural Organization, the United Nations Development Programme, the United Nations Centre for Human Settlements, the regional commissions, as well as other intergovernmental organizations and bodies, such as the International Renewable Energy Agency, and centres of excellence, such as the Copenhagen Centre on Energy Efficiency.
- Developing an in-depth global assessment and outlook on energy with focus on energy's interlinkages with other Goals.

5. To support Member States in their implementation of Sustainable Development Goal 7 within the 2030 Agenda, the United Nations development system must rise to the challenges it faces. UN-Energy and its member organizations remain fully committed to pursuing the United Nations consolidated effort in the lead up to the review of Goal 7 at the 2018 High-Level Political Forum.

Annex VII

Progress report on UN-Oceans

Prepared by the United Nations Legal Counsel/Division for Ocean Affairs and the Law of the Sea, United Nations Secretariat

For action

The Committee is invited to take note of this report and the request contained in the "Our ocean, our future: call for action" adopted at the United Nations Conference to Support the Implementation of Sustainable Development Goal 14: Conserve and sustainably use the oceans, seas and marine resources for sustainable development, held from 5 to 9 June 2017 (the Ocean Conference), which calls upon the Secretary-General to continue his efforts to support the implementation of Goal 14 in the context of the implementation of the 2030 Agenda, in particular by enhancing interagency coordination and coherence throughout the United Nations system on ocean issues, taking into consideration the work of UN-Ocean".

1. To ensure transparency and accountability in accordance with the revised terms of reference of UN-Oceans (see CEB/2013/HLCP-27/INF.6), the United Nations Legal Counsel/Division for Ocean Affairs and the Law of the Sea, focal point of UN-Oceans, submits the present progress report on the main activities of UN-Oceans and related information.

2. Since the previous report to the thirty-second session of the Committee, in 2016, UN-Oceans held its sixteenth meeting at the International Seabed Authority in Kingston, Jamaica, on 10 and 11 April 2017.

3. At its sixteenth meeting, UN-Oceans members focused their discussions on preparations for, participation in and contributions to ocean-related events, including the eighteenth meeting of the United Nations Open-ended Informal Consultative Process on Oceans and the Law of the Sea, on the theme "The effects of climate change on oceans", scheduled for May 2017, the Ocean Conference scheduled for June 2017 and the High-Level Political Forum on Sustainable Development scheduled for July 2017. UN-Oceans members discussed their engagement in the fourth session of the Preparatory Committee established by the General Assembly in its resolution 69/292 on the development of an international legally binding instrument under the United Nations Convention on the Law of the Sea on the conservation and sustainable use of marine biological diversity of areas beyond national jurisdiction, scheduled for July 2017, and in the Regular Process for Global Reporting and Assessment of the State of the Marine Environment, including Socioeconomic Aspects. Members discussed the organization of UN-Oceans side events during those meetings (see para. 10 below).

4. Pursuant to General Assembly resolution 68/70, the revised terms of reference of UN-Oceans were scheduled to be reviewed at the seventy-second session of the Assembly, in 2017, in the light of the work of UN-Oceans. Accordingly, UN-Oceans members took stock of the activities of UN-Oceans in the context of the revised terms of reference approved in 2013 and considered the relevant challenges and opportunities for inter-agency cooperation and coordination. Bearing in mind the consultations on the Ocean Conference draft call for action, UN-Oceans members discussed the potential role of UN-Oceans to further develop and enhance, in an integrated manner, the required assistance to States in the implementation of the 2030 Agenda through joint projects and products — if sufficiently empowered and supported to do so, including through strengthening of UN-Oceans terms of reference.

They suggested that the experience of the other inter-agency coordination mechanisms, namely UN-Water and UN-Energy, could be explored for guidance in addressing funding and other issues.

5. The United Nations Legal Counsel, in his capacity as UN-Oceans focal point, conveyed the above-mentioned views of UN-Oceans members to Member States at the eighteenth meeting of the Informal Consultative Process and at the UN-Oceans side event organized on 5 June to explore, in an interactive and open dialogue, the role that UN-Oceans members could play, acting as "one", in the implementation of Sustainable Development Goal 14 and other ocean-related targets and indicators. An example of the capacity of UN-Oceans to integrate all aspects of ocean and coastal issues across the Goals and to draw on the expertise of its members the inventory of their mandates and activities compiled to help identify further areas for collaboration and synergy. The UN-Oceans focal point, noting that Member States have expressed satisfaction with the work of the UN-Oceans, delivered a statement in plenary at the Ocean Conference as well as during the session of the High Level Political Forum to review implementation of Sustainable Development Goal 14. He highlighted the unique position of UN-Oceans as a partnership of 24 members with direct mandates on oceans, which are already undertaking, each within their areas of competence, a broad range of policy-making, capacity-building, information[9] and awareness-raising activities on oceans.

6. As a multisectoral and multidisciplinary partnership, UN-Oceans is well-placed to enhance in a cohesive, coordinated and integrated manner the required assistance to States in the implementation of the 2030 Agenda and relevant Sustainable Development Goals. In the context of the Ocean Conference, for which the Governments of Fiji and Sweden retained co-hosting responsibilities, UN-Oceans registered a voluntary commitment that would focus on awareness-raising briefings by its members on the relevant regulatory and policy frameworks and the activities of UN-Oceans members in support of their implementation, to be provided in the margins of major intergovernmental meetings. Furthermore, UN-Oceans members collaborated to lead seven informal preparatory working groups and actively contributed to the review of draft concept papers on the themes in support of the implementation of Goal 14 prepared for the seven partnership dialogues held at the Ocean Conference.[10]

7. The Ocean Conference adopted a declaration entitled "Our ocean, our future: call for action", paragraph 14 of which reads as follows: We strongly call upon the Secretary-General to continue his efforts to support the implementation of Goal 14, in the context of the implementation of the 2030 Agenda, in particular by enhancing interagency coordination and coherence throughout the United Nations system on ocean issues, taking into consideration the work of UN-Oceans. This call reflects an increase in the expectations of Member States from UN-Oceans.

8. At its meeting in April 2017, UN-Oceans members continued discussions on the identification of possible areas for collaboration and synergy, including identification of areas of inter-agency cooperation, and the development of a methodology for the indicator for Sustainable Development Goals target 14.c. UN-Oceans members highlighted in particular the importance of a continued update of the inventory of mandates and activities on the UN-Oceans website, including for showcasing it in the context of the Ocean Conference.

9. In addition to the face-to-face meeting mentioned above, UN-Oceans members carried out its work through conference calls (January 2017) and an additional face-

[10] In addition, UN-Oceans members supported implementation of Goal 14 by submitting other voluntary commitments, individually and in partnership with other members.

to-face meeting dedicated to the development of a methodology for Sustainable Development Goals indicator 14.c.1 (July 2017).

10. During the reporting period, UN-Oceans held side events on the following themes:

(a) "Sustainable Development Goal 14: Oceans — Science-based solutions for achieving adaptation and mitigation goals", at the 22nd session of the Conference of the Parties to the United Nations Framework Convention on Climate Change (Marrakesh, Morocco, 9 November 2016);

(b) "Oceans in the 2030 Agenda: UN-Oceans Harbouring Sustainable Development Goal 14" (New York, 5 June 2017);

(c) "Monitor and review of Sustainable Development Goal 14" (New York, 10 July 2017).

Another UN-Oceans side event was scheduled to be held in the context of the twenty-third session of the Conference of the Parties to the United Nations Framework Convention on Climate Change, to be held in Bonn, Germany, from 6 to 17 November 2017. Together with UN-Water, UN-Oceans held a side event in New York on 7 June 2017 on the theme "Connecting fresh water with salt water: joining hands to help achieve Sustainable Development Goals 6 and 14: a win-win for fresh water and oceans".

11. All relevant documents including reports of UN-Oceans meetings are available on the UN-Oceans website (www.unoceans.org).